

# **EXHIBIT 9**

**Wyeth****CONFIDENTIAL****Pharmaceuticals &  
Research**Exempt/Nonexempt  
(US & PR)**PERFORMANCE APPRAISAL****Richard Morgan**

Employee's Name

**1/01/2004****12/31/2004**

Review Period

From

To

Employee's Social Security Number

☐ Check this box if this Performance Plan and Appraisal is being prepared for a new employee or for an employee who is new to their current assignment ("new" = less than six months in current assignment).

☐ Check this box if the employee is a member of a Global Brand Team, Global Development Team or TALT? *If the employee is a member, please ensure that the Team Member Review Form is attached to this appraisal.*

**PLEASE BE INFORMED THAT YOUR PERFORMANCE APPRAISAL MEASURES YOUR JOB PERFORMANCE ONLY. THE FACT THAT THE COMPANY APPRAISES YOUR PERFORMANCE NEITHER GUARANTEES NOR PROMISES EMPLOYMENT FOR ANY DEFINITE PERIOD OF TIME. YOUR EMPLOYMENT IS "AT WILL" AND YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME AND WYETH AND ITS RELATED COMPANIES RETAIN A SIMILAR RIGHT.**

**Sr. Production Supervisor**

Employee's Job Title

**PPU1 - Centrum Manufacturing / 1061640**

Division / Department

**Andrew S. Espejo**

Appraiser's Name

**PPU Lead**

Title

**Section I – Performance Objectives/ Responsibilities and Results**

(\*See Section III for Ratings Definitions)

<b>A. Performance Objectives, Responsibilities, Expectations</b>	<b>B. Results Achieved</b>	<b>C. Rating (1-5)*</b>
Enhance Maintenance Zone Mgt. Program	Rich consistently managed his assigned zone and acted as the leader for other Supervisors in the department during QA Audits. Rich had no findings for the annual audit of his Zone.	5
Employee Empowerment More focus on Rewards & Recognition Communicate and Reward Accomplishments Cross-train in Critical Positions	Rich proactively worked on the PPU1 Rewards and Recognition program to provide a basis of stability for all Departmental employees. Rich also ensured that he was Cross Trained in the PPU1 functions as is evident in his assignment as the PPU1 Lead back-up.	4
Process Flow Mapping Align Manufacturing with Packaging Single Pass Centrum in CTC #1 Single Pass Silver in CTC #2	Rich was instrumental in leading the efforts to process map the Vertical Cell project. This led to the successful implementation of the Bins and Bin Storage Projects. He played a significant role in effecting the production requirements to effectively complete the CTC 1 and 2 Single Pass projects. Rich's production plans always focused on the packaging plan in order to sustain Schedule Adherence	5
New Investigations Investigation Completions FTQ Batch Record Errors	Rich worked closely with his direct reports to reduce the number of batch record errors in the department. This ultimately led to the decrease in new investigations. Rich's shift won 3 monthly rewards for the fewest amount of Batch record errors.	4
Throughput Time Customer Service Schedule Adherence Manufacturing Variance	Rich's effective scheduling of all phases of the process directly led to the successful reduction in cycle time (10%) from 2003. This led to Schedule Adherence levels for PPU1 well above the targets	5

**Section I – Performance Objectives/ Responsibilities and Results**

(\*See Section III for Ratings Definitions)

<b>A. Performance Objectives, Responsibilities, Expectations</b>	<b>B. Results Achieved</b>	<b>C. Rating (1-5)*</b>
Safety Index Training Completion	The PPU1 Safety and Training indices were slightly below targeted goals for the year	2

Employee Name – Richard Morgan

**Section II – Company Values: Work Behaviors Exhibited**

(\*See Section III for Ratings Definitions)

Values	Specific observations related to Company Values, including areas of strength and opportunities for development.	Rating* (1-5)
<b>QUALITY:</b> We are committed to excellence - in the results we achieve and in how we achieve them. <ul style="list-style-type: none"> <li>• Do your job right every time</li> <li>• Focus on what's important</li> <li>• Strive for continuous improvement</li> <li>• Think strategically and execute flawlessly</li> </ul>	Rich has consistently produced high quality work. He has shown an ability to concentrate his efforts on the manufacturing process. He makes an effort to increase his knowledge and skills needed to complete his work.	5
<b>INTEGRITY:</b> We do what is right for our customers, our communities, our shareholders and ourselves. <ul style="list-style-type: none"> <li>• Take responsibility for your actions</li> <li>• Follow through on commitments</li> <li>• Communicate in an open, honest and authentic manner</li> <li>• Respect confidentiality</li> </ul>	Rich can be counted on to complete assignments given to him. He accepts responsibility for his work and actions. When working in a group, he communicates openly and truthfully, and can be trusted with confidential information.	5
<b>RESPECT FOR PEOPLE:</b> We promote a diverse culture and an environment of mutual respect for our employees, our customers and our communities. <ul style="list-style-type: none"> <li>• Treat others with dignity and respect</li> <li>• Embrace and encourage new ideas</li> <li>• Cultivate talents of others/self</li> <li>• Reward/rebognize contributions of others</li> <li>• Celebrate achievements of team/others</li> </ul>	Rich has shown a high level of respect for others, both within this Department, and also with the various individuals he comes into contact with throughout his assignments. He is always willing to listen to and consider the ideas of others, and encourages others to think creatively. He gives credit to others when it is due.	5
<b>LEADERSHIP:</b> We value people at every level who lead by example, take pride in what they do and inspire others. <ul style="list-style-type: none"> <li>• Be a role model</li> <li>• Approach your job with passion and conviction</li> <li>• Bring out the best in people</li> <li>• Anticipate and adapt to change</li> <li>• Demonstrate personal initiative</li> <li>• Promote innovative thinking</li> </ul>	Rich has been and continues to be a role model for others to follow in the Manufacturing Departments. He takes initiative in completing necessary tasks, and tries to convey his enthusiasm to others. He readily adapts to change, and encourages others to do the same.	4
<b>COLLABORATION:</b> We value teamwork - working together to achieve common goals is the foundation of our success. <ul style="list-style-type: none"> <li>• Demand/demonstrate teamwork</li> <li>• Be flexible and responsive</li> <li>• Think and work across boundaries</li> <li>• Share information freely</li> <li>• Seek input and listen</li> </ul>	Rich works very well in a team atmosphere. He is always ready to accept input from others – when he does not know something, or if he needs additional information, he asks the appropriate people. He is also willing to share his personal knowledge and experience with anyone who may benefit. He is always willing to help his colleagues when needed.	4

**CONFIDENTIAL**  
**D 000735**

Employee Name – Richard Morgan

**Section III – Summary of Performance**

In determining the overall rating for performance, consider the following three factors:

- ♦ Ratings for results achieved - Section I
- ♦ Ratings for demonstration of Company Values on the job - Section II (How results were achieved is as important as what was accomplished.)
- ♦ The relative comparison of how the employee performed against his or her objectives and values to how other employees in the department and / or business unit performed against their objectives and values.

<b>Results Achieved</b> <b>("What" was accomplished)</b> Expected results (goals, objectives, standards) based on job responsibilities and assignments	<b>Company Values: Behaviors Exhibited</b> <b>("How" the employee worked with others)</b> Quality, Integrity, Respect for People, Leadership, and Collaboration	<b>Overall Rating</b> Against individual goals relative to others' performance within the organization
<b>Significantly Above Target</b> ♦ Far exceeded objectives, responsibilities, expectations	<b>Role Model</b> ♦ Consistently demonstrated and inspired others to demonstrate the Company Values	5 <input checked="" type="checkbox"/>
<b>Above Target</b> ♦ Exceeded objectives, responsibilities, expectations	<b>Accomplished</b> ♦ Consistently demonstrated the Company Values	4 <input type="checkbox"/>
<b>On Target</b> ♦ Met objectives, responsibilities, expectations	<b>Skilled</b> ♦ Frequently demonstrated most of the Company Values	3 <input type="checkbox"/>
<b>Below Target</b> ♦ Did not fully meet key objectives, responsibilities, expectations	<b>Needs Development</b> ♦ Demonstrated Company Values, but requires improvement in some key areas	2 <input type="checkbox"/>
<b>Significantly Below Target</b> ♦ Did not accomplish most objectives, responsibilities, expectations ♦ <i>Immediate and sustained performance improvement required to remain in position</i>	<b>Needs Significant Improvement</b> ♦ Rarely demonstrated key Company Values and/or displayed inappropriate work behavior ♦ <i>Immediate and sustained performance improvement required to remain in position</i>	1 <input type="checkbox"/>

**Manager's Comments on Performance**

Rich has truly been asset to our organization and me. He has been forthright and open about his opinions and on the direction the department needs to move in.

**CONFIDENTIAL**  
**D 000736**

Employee Name - Richard Morgan

### Section IV - Employee Comments

### Section V - Required Signatures

*Richard Morgan*

Employee's Signature

*12/17/04*

Date

Signature indicates you have seen, reviewed, and discussed this appraisal with your Manager.

*[Signature]*

Manager's Name/ Signature

*12/17/04*

Date

*Joseph H. H. Morgan, Director*

Next Level of Review (Signature and Title)

*1/4/05*

Date

Comments (optional):

*[Signature]*

Human Resources (If / as required by Business Division)

*1/12/05*

Date

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D 000737

# **EXHIBIT 10**

dkt

EC 28 153



## PERFORMANCE PLANNING AND REVIEW FORM

NAME: MR. HOWARD HENRY		DIVISION/DEPARTMENT: MEDICAL RESEARCH 982	
JOB TITLE: CHEMIST	REVIEW PERIOD: Mo/Yr to Mo/Yr 8/93 to 11/93	EMPLOYEE SOCIAL SECURITY NO.: 124/62/2014	

Review the Manager's Guide before preparing this form.

## I. PERFORMANCE PLAN AND RESULTS

1. List the 5-7 planned major responsibilities/objectives and how they will be measured in Section IA. Indicate the expected completion date. (You may attach additional pages, if needed.)
2. Note any changes to the plan during the appraisal period in Section IC.
3. At the end of the period, record what was accomplished in each planned area in Section IB, noting the reasons outside the employee's control which affected the attainment of results; then rate the performance (E = Exceeded; A = Achieved; P = In Progress; N = Not Achieved). Also note any unanticipated accomplishments.

A. Performance Plan	B. Results Achieved	Rating
1. OPTIMIZE PROCESS FOR MALONATION STEP OF BETA 3 AGONIST SYNTHESIS. STUDY EFFECT OF PROCESS VARIABLES (TIME, TEMPERATURE, SOLVENT) ON YIELD, PURITY ONGOING THRU 11/93.	1. MALONATION PROCESS IMPROVED SIGNIFICANTLY (10% INCREASE) AND PROCESS CARRIED OUT IN PILOT PLANT OPERATION.	E
2. ISSUE REPORT SUMMARIZING RESULT OF PROCESS OPTIMIZATION STUDY BY 11/93.	2. COMPLETE REPORT OF MALONATION STUDY IN PROGRESS. DELAYED DUE TO PRIORITY CHANGE ON DEMETHYLATION STEP.	P
3. ASSIST IN THE PREPARATION OF NEW CLINICAL LEADS AS REQUIRED. ONGOING THRU 11/93.	3. ASSISTED IN THE PREPARATION OF 9DMGDDA9 AND VASOPRESSIN ANTAGONISTS TO ASSURE TIMELY COMPLETION.	A
4. EVALUATE AND IMPROVE <del>SYNTHETIC</del> SYNTHETIC METHOD FOR NEW CLINICAL LEADS. 8/12/93	4. PRIORITY GIVEN TO BETA 3 AGONIST LEAD. ALL OTHER ACTIVITIES SUSPENDED UNTIL TIME AVAILABLE.	N

D-00112

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A. Performance Plan	B. Results Achieved	Rating
<b>C. Changes to the Plan</b>		

## II. ANALYSIS OF PERFORMANCE SKILLS

Review the list of skills on the next page and rate the employee: A = Strength; B = Meets Requirements; or C = Needs Improvement. Leave blank if not applicable.

After rating all applicable skills, briefly explain below any skills rated as needing improvement.

**D-00113**

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PERFORMANCE SKILLS CHECKLIST (Leave blank if not applicable)									
A = Strength			B = Meets Requirements			C = Needs Improvement			
	A	B	C		A	B	C		
<b>KNOWS THE JOB</b>				<b>GETS THE JOB DONE</b>					
Understands job requirements, skills, and procedures		X		Takes reasonable risks to achieve results		X			
Keeps current in job-related knowledge		X		Follows up on planned work		X			
Knows our industry and products		X		Meets deadlines		X			
<b>WORKS WITH OTHERS</b>				Produces quality work	X				
Works effectively as member of a team	X			Gives necessary attention to accuracy and detail		X			
Helps others with work-related problems		X		Knows and applies good knowledge of personnel policies		X			
Gains the cooperation of others		X		Produces required quantity of work		X			
Keeps superior and others informed		X		Exercises good judgment		X			
<b>MANAGES THE WORK</b>				Finds innovative approaches		X			
Actively promotes safe conditions and procedures		X		<b>MANAGEMENT AND DEVELOPMENT OF STAFF (For managerial employees only)</b>					
Identifies, analyzes, recommends solutions to problems		X		Provides regular and constructive performance feedback					
Sets demanding but realistic goals and work plans		X		Prepares timely and thorough performance appraisals					
Establishes sound priorities for work		X		Makes training and other resources available to help employees develop					
Keeps on top of unit performance <i>N.A.</i>				Works within spirit and policy of EEO and Affirmative Action					
Monitors and operates within budget and other controls		X		Leads staff through example					
Manages time effectively		X		Develops subordinates					
<b>COMMUNICATIONS</b>				Involves employees in issues affecting them					
Listens and demonstrates understanding of information	X			Helps subordinates set challenging but realistic objectives					
Writes clearly and convincingly		X		Provides coaching and counseling					
Speaks clearly and convincingly		X		Encourages teamwork					
<b>ADDITIONAL SKILLS</b>				Informs employees of department/division/company information					
				Actively supports "Statement of Business Purpose"					

D-00114

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**III. IMPROVEMENT, TRAINING, AND DEVELOPMENT PLAN**

Develop this plan during the review discussion with the employee. The plan should build on strengths and/or focus on areas requiring improvement.

Objective	Plan of Action and Who Is Responsible	Timing

**IV. OVERALL PERFORMANCE EVALUATION**

On the basis of the preceding evaluation of performance against job responsibilities and objectives, and performance skills, rate this employee's performance during this review period.

- ☐ **Superior Performance** Work performed shows extraordinary and exceptional accomplishments on a consistent basis. Results far above normal requirements of the position. If employee manages others, demonstrates outstanding abilities to manage and develop a staff.
- ☒ **Quality Performance** Work performed represents a level of quality performance expected of American Cyanamid employees. Work may frequently exceed or occasionally fall below standards set for it and still fit within this rating. This rating represents a broad range of acceptable performance.
- ☐ **Performance That Needs Improvement** Work performed indicates a pattern of shortfalls that require improvement if the employee is to remain in this job. (If this rating is assigned, use the Performance Improvement and Development Plan to indicate what will be done to try to upgrade performance and the time-frame for this plan.)

**V. EMPLOYEE COMMENTS ABOUT CAREER INTERESTS****VI. COMMENTS AND SIGNATURES**

Employee's Signature: Your signature indicates that you have seen, reviewed, and discussed this appraisal with your manager and you have been given an opportunity to add your comments.

Employee Signature

12/8/93

Date

Approved by (Manager): Signature

12/8/93

Date

Reviewed by (Next level Manager): Signature

12/22/93

Date

Comments: This space is provided for any additional job-related comments by the employee, manager, or reviewer. Attach additional pages if needed.

Performance plan reflects a 4 month period. Mr. Henry has demonstrated active interest in process development and will continue to enhance knowledge and skills in this area. David M. Elms 12/8/93.

D-00115

## **Exhibit 11**



## PERFORMANCE PLANNING AND REVIEW FORM

NAME: Mr. Howard Henry		DIVISION/DEPARTMENT MRD - 982	
JOB TITLE: Chemist	REVIEW PERIOD 11/93 - 11/94	EMPLOYEE SOCIAL SECURITY NO. 124-62-2014	

Review the Manager's Guide before preparing this form.

### I. PERFORMANCE PLAN AND RESULTS

1. List the 5-7 planned major responsibilities/objectives and how they will be measured in Section 1A. Indicate the expected completion date. (You may attach additional pages, if needed)
2. Note any changes to the plan during the appraisal period in Section 1C.
3. At the end of the period, record what was accomplished in each planned area in Section 1B, noting the reasons outside the employee's control which affected the attainment of results; then rate the performance (E-Exceeded; A-Achieved; P-In Progress; N-Not Achieved). Also note any unanticipated accomplishments or circumstances in Section 1D.

A. Performance Plan Objective(s)	B. Results Achieved	Rating
1. Assist in the scale-up and production of Beta-3 agonist, CL 316,243, to produce bulk drug as required. 30 kg a month beginning 3/94.	1. Assisted in the scale-up of CL 316,243 at Stamford from 3/94 till 6/94. During this time provided coverage for pilot plant runs and conducted pivotal use tests. Responsible for milling ~90 kg of CL 316,243 in prep lab.	A
2. Evaluate and improve synthesis of Beta-3 agonist for continued improvements. Ongoing through 11/94.	2. Investigated mechanism of boron tribromide reaction and evaluated reasons for batch failure (11/93-6/94).	A
3. Assist in completion of all batch records for CL 316,243 production to comply with GMP. Ongoing through 11/94.	3. Helped in completion of batch records to comply with GMP requirements. Provided all documentation for all batches milled (11/93-6/94).	A
4. Assist in the scale-up and campaign production of clinical leads as required. Ongoing through 11/94.	4. Assisted in the production of CL 191,638 (6/94-present). Prepared material used in synthesis of first 100 g batch; current campaign on schedule for mid-January delivery. Helped coordinate activities of temporary employees in 69G prep lab.	A
5. Acquire working knowledge of Waters 2000 LC system and apply to synthesis of all clinical leads. By 11/94.	5. Priority given to other development projects. Postponed learning HPLC system till later date.	N

4345

Howard Henry

2

November 93 - November 94

A. Performance Plan Objective(s)	B. Results Achieved	Rating
6. Evaluate and improve large scale synthesis of Oral Carbapenam lead CL 191,638. Ongoing 6/94 - present.	6. Recognized and implemented several improvements in the synthesis of CL 191,638 resulting in higher yields and better purities for the early intermediates.	E
7.		
8.		
9.		
10.		

Howard Henry

3

November 93 - November 94

A. Personal Development Objective(s)	B. Results Achieved	Rating
Continue to improve communication skills. Present work at department meeting.		
Acquire wrking knowledge of Waters 2000 LC system and REACT-IR.		

**C. CHANGES TO THE PLAN****D. Manager Comments on Individual Performance****II. ANALYSIS OF PERFORMANCE SKILLS**

Review the list of skills on the next page and rate the employee:

**A—Strength; B—Meets Requirements; or C—Needs Improvement.**

Leave blank if not applicable.

After rating all applicable skills, briefly explain below any skills rated as needing improvement.

4347

Howard Henry

4

November 93 - November 94

**PERFORMANCE SKILLS CHECKLIST** (Leave blank if not applicable)

A = Strength

B = Meets Requirements

C = Needs Improvement

	A	B	C		A	B	C
<b>QUALITY/CUSTOMER ORIENTATION</b>				<b>KNOWS THE JOB</b>			
Seeks & responds to customer needs		X		Understands job requirements, skills, & procedures	X		
Measures progress & implements contingencies. Keeps on top of unit performance		X		Keeps current in job-related knowledge		X	
Gives necessary attention to accuracy & detail		X		Knows our industry & products		X	
Produces quality work - provides desired results & meets deadlines		X		<b>MANAGES THE WORK PROCESS</b>			
Challenges the status quo & suggests creative approaches	X			Actively promotes safe conditions & procedures	X		
Implements improvements & innovations	X			Sets challenging but realistic goals & work plans		X	
<b>TEAMWORK</b>				Establishes sound priorities for work		X	
Solicits & shares information needed by team members		X		Monitors & operates within budget & other controls		X	
Helps others with work-related problems	X			<b>GETS THE JOB DONE</b>			
Respects & appreciates the diversity of colleagues & their ideas	X			Manages time effectively	X		
Gains the cooperation of others	X			Anticipates problems & makes contingency plans		X	
Keeps superior and others informed		X		Considers alternatives & consequences when making decisions		X	
<b>COMMUNICATIONS</b>				Takes reasonable risks to achieve results		X	
Listens & demonstrates understanding of information		X		Follows up on planned work		X	
Solicits & responds positively to constructive feedback	X			Produces required quantity of work		X	
Writes clearly and concisely		X		<b>ADDITIONAL SKILLS</b>			
Speaks clearly and concisely		X					

**MANAGEMENT AND DEVELOPMENT OF STAFF** (For Managerial employees only)

<b>SUPPORT AND EMPOWERMENT</b>				<b>DIRECTION AND GUIDANCE</b>			
Involves employees in issues affecting them				Leads staff through example			
Provides regular & constructive performance feedback & coaching				Informs staff of relevant Dept./Div./Company information			
Makes training & other resources available to help employees develop				Helps subordinates set objectives that are challenging yet feasible			
Develops subordinates by delegating tasks down to the appropriate level				Asks staff for new ideas & to apply innovative work methods			
Encourages & capitalizes on individual diversity within the staff				Prepares timely & thorough performance appraisals			
Encourages subordinates to share information & help each other				Knows & applies Personnel Policies			

Describe &amp; comment on the Managers "empowerment" of his/her staff.

4348



Howard Henry

5

November 93 - November 94

**III. OVERALL PERFORMANCE EVALUATION**

On the basis of the preceding evaluation of performance against job responsibilities and objectives, rate this employee's performance during this review period.

- ☐ **S Superior Performance** Work performed shows extraordinary and exceptional accomplishments on a consistent basis. Results far above normal requirements of the position. If employee manages others, demonstrates outstanding abilities to manage and develop a staff.
- ☐ **Q+ Quality** Performance *frequently* exceeds while fully meeting expectations.
- ☒ **Q Performance** Performance meets and *sometimes* exceeds expectations. This is a performance expected of all Cyanamid employees.
- ☐ **Q-** Performance usually meets but *sometimes* falls below requirements for the job
- ☐ **N Performance That Needs Improvement** Work performed indicates a pattern of shortfalls that require improvement if the employee is to remain in this job. (If this rating is assigned, use the Personal Development Objective(s) to indicate what will be done to try to upgrade performance and the time-frame for this plan).

**IV. EMPLOYEE COMMENTS ABOUT CAREER INTERESTS**

To further acquire knowledge in the field of Chemistry  
+ Engineering. (X) To gain a master Degree in  
Chem Eng. J.H. OHC 12/20/94

**V. COMMENTS AND SIGNATURES**

Employee's Signature: Your signature indicates that you have seen, reviewed, and discussed this appraisal with your manager and you have been given an opportunity to add your comments.

Employee's Signature

12/20/94  
Date

Appraised by (Manager): Signature

12/20/94  
Date

Reviewed by (Next level Manager): Signature

11/4/95  
Date

Comments: This space is provided for any additional job-related comments by the employee, manager, or reviewer. (Attach additional pages if needed).

No Comment J.H. OHC 12/20/94

## **Exhibit 12**

# PERFORMANCE PLANNING AND REVIEW FORM

NAME: <b>Howard Henry</b>		DIVISION/DEPARTMENT <b>W-AR- 982</b>	
JOB TITLE: <b>Chemist</b>	REVIEW PERIOD <b>12/94-8/95</b>	EMPLOYEE SOCIAL SECURITY NO. <b>124-62-2014</b>	

Review the Manager's Guide before preparing this form.

## I. PERFORMANCE PLAN AND RESULTS

1. List the 5-7 planned major responsibilities/objectives and how they will be measured in Section IA. Indicate the expected completion date. (You may attach additional pages, if needed)
2. Note any changes to the plan during the appraisal period in Section 1C.
3. At the end of the period, record what was accomplished in each planned area in Section 1B, noting the reasons outside the employee's control which affected the attainment of results; then rate the performance (E-Exceeded; A-Achieved; P-In Progress; N-Not Achieved). Also note any unanticipated accomplishments or circumstances in Section 1D.

A. Performance Plan Objective(s)	B. Results Achieved	Rating
1. Assist in development and production of Oral Carbapenem lead CL 191,638 as required.	As required worked on several synthetic steps in the Kilolab to ensure preparation of 25 kg of CL 191,086 and kilogram quantities of pendant CL 192,287.	A
2. Evaluate and improve the synthesis of pendant used in production of Oral Carbapenem lead CL 191,638.	Implemented several changes in the process for formation of CL 191,058, a key intermediate. These changes resulted in improved yields and purities (80% to 95%).	E
3. Assure all steps in the synthesis of CL 191,638 are conducted in accordance with GMP guidelines. Supply documentation as necessary.	Assured all Kilolab steps were conducted according to GMP guidelines. Kept accurate documentation for all steps.	A
4. Evaluate and improve the process for of CL 192,363. Suggest and implement changes necessary for additional scale-up.	Evaluated several potential changes for formation of CL 192,363. Implemented and scaled-up reverse addition process to avoid problems of reaction variability.	A
5. Assist in development and production of carbapenem lead CL 191,983 as required.	Currently assisting in scale-up of CL 191,983. Initiated new campaign for preparation of 1 kg by January, 1996.	IP

Howard Henry

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December 1994 - August 1995

A. Personal Development Objective(s)	B. Results Achieved	Rating
1. Participate in courses to improve knowledge of chemical reaction scale-up.	1. Attended course on "Basic Principles in Chemical Engineering". On own time is pursuing a degree in Chemical Engineering.	E

**C. CHANGES TO THE PLAN****D. Manager Comments on Individual Performance****II. ANALYSIS OF PERFORMANCE SKILLS**

Review the list of skills on the next page and rate the employee:

**A-Strength; B-Meets Requirements; or C-Needs Improvement.**

Leave blank if not applicable.

After rating all applicable skills, briefly explain below any skills rated as needing improvement.

4317

Howard Henry

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December 1994 - August 1995

PERFORMANCE SKILLS CHECKLIST (Leave blank if not applicable)									
A = Strength			B = Meets Requirements			C = Needs Improvement			
	A	B	C		A	B	C		
<b>QUALITY/CUSTOMER ORIENTATION</b>				<b>KNOWS THE JOB</b>					
Seeks & responds to customer needs	X			Understands job requirements, skills, & procedures	X				
Measures progress & implements contingencies. Keeps on top of unit performance		X		Keeps current in job-related knowledge		X			
Gives necessary attention to accuracy & detail		X		Knows our industry & products		X			
Produces quality work - provides desired results & meets deadlines		X		<b>MANAGES THE WORK PROCESS</b>					
Challenges the status quo & suggests creative approaches		X		Actively promotes safe conditions & procedures		X			
Implements improvements & innovations	X			Sets challenging but realistic goals & work plans		X			
<b>TEAMWORK</b>				Establishes sound priorities for work		X			
Solicits & shares information needed by team members	X			Monitors & operates within budget & other controls	NA				
Helps others with work-related problems	X			<b>GETS THE JOB DONE</b>					
Respects & appreciates the diversity of colleagues & their ideas		X		Manages time effectively	X				
Gains the cooperation of others	X			Anticipates problems & makes contingency plans		X			
Keeps superior and others informed		X		Considers alternatives & consequences when making decisions		X			
<b>COMMUNICATIONS</b>				Takes reasonable risks to achieve results		X			
Listens & demonstrates understanding of information		X		Follows up on planned work		X			
Solicits & responds positively to constructive feedback		X		Produces required quantity of work		X			
Writes clearly and concisely		X		<b>ADDITIONAL SKILLS</b>					
Speaks clearly and concisely		X							
<b>MANAGEMENT AND DEVELOPMENT OF STAFF (For Managerial employees only)</b>									
<b>SUPPORT AND EMPOWERMENT</b>				<b>DIRECTION AND GUIDANCE</b>					
Involves employees in issues affecting them				Leads staff through example					
Provides regular & constructive performance feedback & coaching				Informs staff of relevant Dept./Div./Company information					
Makes training & other resources available to help employees develop				Helps subordinates set objectives that are challenging yet feasible					
Develops subordinates by delegating tasks down to the appropriate level				Asks staff for new ideas & to apply innovative work methods					
Encourages & capitalizes on individual diversity within the staff				Prepares timely & thorough performance appraisals					
Encourages subordinates to share information & help each other				Knows & applies Personnel Policies					
Describe & comment on the Managers "empowerment" of his/her staff.									

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Howard Henry

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December 1994 - August 1995

**III. OVERALL PERFORMANCE EVALUATION**

On the basis of the preceding evaluation of performance against job responsibilities and objectives, rate this employee's performance during this review period.

- ☐ **S Superior Performance** Work performed shows extraordinary and exceptional accomplishments on a consistent basis. Results far above normal requirements of the position. If employee manages others, demonstrates outstanding abilities to manage and develop a staff.
- ☐ **Q+ Quality** Performance frequently exceeds while fully meeting expectations.
- ☒ **Q Performance** Performance meets and sometimes exceeds expectations. This is a performance expected of all Cyanamid employees.
- ☐ **Q-** Performance usually meets but sometimes falls below requirements for the job
- ☐ **N Performance That Needs Improvement** Work performed indicates a pattern of shortfalls that require improvement if the employee is to remain in this job. (If this rating is assigned, use the Personal Development Objective(s) to indicate what will be done to try to upgrade performance and the time-frame for this plan).

**IV. EMPLOYEE COMMENTS ABOUT CAREER INTERESTS**

*I - ESSENCE, I DO FEEL <sup>THIS</sup> THAT REVIEW CANNOT FULLY CAPTURE THE TIME EFFORT AND DEDICATION I TRULY GIVE TO ACHIEVING THE GOALS SET, FOR A PARTICULAR PROJECT. I LOOK FORWARD TO CONTINUE TO IMPROVE AS ALWAYS AND HOPE TO FURTHER MY KNOWLEDGE ON ALL ASPECTS OF CHEMICAL PROCESSING.*

**V. COMMENTS AND SIGNATURES**

Employee's Signature: Your signature indicates that you have seen, reviewed, and discussed this appraisal with your manager and you have been given an opportunity to add your comments.

Employee's Signature

Date

Appraised by (Manager): Signature

Date

Reviewed by (Next level Manager): Signature

Date

Comments: This space is provided for any additional job-related comments by the employee, manager, or reviewer. (Attach additional pages if needed).

## **Exhibit 13**

WYETH-AYERST  
RESEARCH

CONFIDENTIAL

## PERFORMANCE PLANNING AND APPRAISAL

Howard Henry

Employee Name

September, 1995

Time Frame Covered From

September, 1996

To

Chemist

Employee's Job Title

Chemical Development

Department

Kevin McCoy

Appraiser's Name

Manager

Title

## INSTRUCTIONS

See Procedures Checklist (Page 1A) and  
Program Definitions (Page 1B).



## Performance Appraisal Plan (Continued)

Employee Name

Howard Henry

Date

12/96

At the beginning of the performance review period, the employee and supervisor are to jointly agree upon a Performance Appraisal Plan by completing as appropriate for the job Part A - Performance standards/Objectives (page 2) and Part B - Management Performance Standards (page 2A). After agreement on a Performance Appraisal Plan, the employee and supervisor are to establish a Performance Development Plan (page 3) and sign page 3 (See page 1A for further instructions.)

Part A - Performance standards are to be developed for all positions below Division Director. Performance objectives are required to Division Directors and above and are optional for other positions. Performance standards/objectives must be challenging, requiring a stretch of effort, and in support of organizational goals. The team performance standard is required for all drug development project team core members and optional for members of other teams. Agree upon percentage weights for performance standards/objectives according to their relative importance to the overall performance results for the job. For Division Directors and above, performance objectives will typically account for 60% or more of the overall performance rating. Performance objectives require agreement upon target completion dates and milestones as needed.

PART A - Performance Standards/Objectives			Target date (Objectives Only)	Performance Achieved	Rating*
45	Following the directions of the project supervisor, performs laboratory work in support of Chem Dev projects. Work is to be accurate and reproducible, and to be completed by the assigned date. As experience at this level is gained is expected to suggest process improvements.			Mr. Henry has been a major contributor to the carbapenem project, especially for the Campaign to produce the first kg of bulk drug.	At Expectation
20	Is to become familiar with all available laboratory equipment, instrumentation, technology, computers, and literature searching techniques. Must become familiar with basic plant operations.			Mr. Henry continues to gain experience with kilo-scale equipment and instrumentation.	At Expectation
15	Maintains comprehensible, accurate and complete records of all laboratory work performed. Writes reports as assigned. Keeps project supervisor informed of progress and problems on a timely basis.			Howard does a good job maintaining GMP records of Kilo lab batches. He has increased his level of compliance with newly tightened GMP regulations.	At Expectation
10	All work is to be performed safely. All work areas are to be kept clean and orderly.			Howard meets all requirements for safety and housekeeping.	At Expectation
10	All work is to be coordinated and organized to make maximum use of time and resources.			Mr. Henry has done a good job balancing his work schedule to accommodate coursework for credits towards a degree in chemical engineering.	At Expectation
4337					
Team Performance - (Appraiser is to establish a weighting for the importance of participation on teams. As applicable, incorporate ratings from the Project Team Member Performance Review form completed by the Project Team Leader).					

Use page 2B for additional standards/objectives as appropriate.

Page 2

\*See page 4 for rating definitions.

- (1) This section must be completed for all positions at the beginning of the performance review period. Identify one to three development objectives that would enhance skills/knowledge for current job responsibilities or for developing professional growth. (i.e., better planning, improved communication, better collaboration, etc.)
- (2) Describe specific activities and target dates planned to support the development objective. Include job assignments, training, professional activities, etc. Describe supervisor's planned efforts to coach and assist the employee through the activities.
- (3) At the end of the performance review period, record results achieved for each development objectives.

Development Objectives	Development Activities	Development Results Achieved

The above Performance Appraisal Plan and (Parts A&B as applicable) and Performance Development Plan were developed and reviewed by:

Employee	Date	Appraiser	Date	Next Level of Review	Date
----------	------	-----------	------	----------------------	------

#### Special Projects, Assignments or Responsibilities Added in Midyear (Optional)

- (1) List standards/objectives for special projects, assignments or responsibilities added between appraisals.
- (2) At the end of the performance review period, identify accomplishments for each performance standard/objective and rate them accordingly. See page 4 for rating definitions.

%	Performance Standards/Objectives	Performance Achieved	Rating

#### Interim Performance Discussion (Typically Completed in April/May)

Appraiser Comments:

<table border="0" style="width: 100%;"> <tr> <td style="width: 40%;">Employee Signature</td> <td style="width: 10%;">Date</td> <td style="width: 40%;">Appraiser Signature</td> <td style="width: 10%;">Date</td> </tr> </table>				Employee Signature	Date	Appraiser Signature	Date
Employee Signature	Date	Appraiser Signature	Date				

Check One Box

☐

**EXCEPTIONAL** - Performance results consistently exceed expectations. The employee goes well beyond parameters of the job and makes an exceptional contribution to the organization.

☐

**EXCEEDS EXPECTATIONS** - Performance results frequently exceed expectations. The employee frequently achieves more than what the job was designed to do.

☒

**AT EXPECTATIONS** - Performance results meet and may occasionally exceed expectations. The employee contributes a solid performance and accomplishes what the job was designed to do.

☐

**NEEDS IMPROVEMENT** - In some areas, performance results generally meet expectations, but improvement is needed in other areas to achieve a level of solid performance.

☐

**UNSATISFACTORY** - Performance results are significantly below expectations. Employee needs very close supervision and performance counseling. Immediate and sustained improvement is required.

Is this a performance progress evaluation for an employee who has been in the current job less than nine months? YES NO

**Appraiser's Summary:**

Mr. Henry has made solid contributions to the carbapenem project this past year. He has also increased his level of compliance with the tighter GMP requirements now required in the kit lab. After the carbapenem project is completed, he should work on a project that will give him the opportunity to further broaden his skill level through increased responsibility.

**Employee's Comments:**

Goals I wish to attain are following:  
To Improve on all levels i.e. GMP Documentation  
Instrumentation  
To Perform Above Expectation in All Facets of my  
Present Level  
J. Henry 1/16/97

Employee Signature

Date

The employee's signature does not necessarily indicate agreement but only indicates the evaluation was fully discussed.

Appraised By (Signature and Title)

Associate Director

Date

**Next Level of Review Comments:**

Next Level of Review (Signature and Title)

Date

PLEASE BE INFORMED THAT YOUR PERFORMANCE APPRAISAL MEASURES YOUR JOB PERFORMANCE ONLY. THE FACT THAT THE COMPANY APPRAISES YOUR PERFORMANCE NEITHER GUARANTEES NOR PROMISES EMPLOYMENT FOR ANY DEFINITE PERIOD OF TIME. YOUR EMPLOYMENT IS "AT WILL" AND YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME AND WYETH-AYERST RETAINS A SIMILAR RIGHT.

## **Exhibit 14**



CONFIDENTIAL

## PERFORMANCE PLANNING AND APPRAISAL

<u>Howard Henry</u>	<u>September, 1996</u>	<u>September, 1997</u>
Employee Name	Time Frame Covered	From To
<u>Scientist II - Chemist</u>	<u>Chemical Development</u>	
Employee's Job Title	Department	
<u>Kevin McCoy</u>	<u>Associate Director</u>	
Appraiser's Name	Title	

## INSTRUCTIONS

See Procedures Checklist (Page 1A) and  
Program Definitions (Page 1B).



**Performance Development Plan**

- (1) This section must be completed for all positions at the beginning of the performance review period. Identify one to three development objectives that would enhance skills/knowledge for current job responsibilities or for developing professional growth. (i.e., better planning, improved communication, better collaboration, etc.)
- (2) Describe specific activities and target dates planned to support the development objective. Include job assignments, training, professional activities, etc. Describe supervisor's planned efforts to coach and assist the employee through the activities.

At the end of the performance review period, record results achieved for each development objectives.

Development Objectives	Development Activities	Development Results Achieved
Enhance analytical skills using HPLC, GC and KF instruments.	Make frequent use of HPLC, GC and KF instruments.	Have developed solid skills in the use of these analytical tools.

The above Performance Appraisal Plan and (Parts A&B as applicable) and Performance Development Plan were developed and reviewed by:

Employee	Date	Appraiser	Date	Next Level of Review	Date
----------	------	-----------	------	----------------------	------

**Special Projects, Assignments or Responsibilities Added in Midyear (Optional)**

- (1) List standards/objectives for special projects, assignments or responsibilities added between appraisals.
- (2) At the end of the performance review period, identify accomplishments for each performance standard/objective and rate them accordingly. See page 4 for rating definitions.

%	Performance Standards/Objectives	Performance Achieved	Rating

**Interim Performance Discussion (Typically Completed in April/May)**

Appraiser Comments:

<div style="display: flex; justify-content: space-between;"> <div>Employee Signature</div> <div>Date</div> <div>Appraiser Signature</div> <div>Date</div> </div>			
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## Overall Evaluation / Performance Levels

## Check One Box

- ☐ **EXCEPTIONAL** - Performance results consistently exceed expectations. The employee goes well beyond parameters of the job and makes an exceptional contribution to the organization.
- ☐ **EXCEEDS EXPECTATIONS** - Performance results frequently exceed expectations. The employee frequently achieves more than what the job was designed to do.
- ☒ **AT EXPECTATIONS** - Performance results meet and may occasionally exceed expectations. The employee contributes a solid performance and accomplishes what the job was designed to do.
- ☐ **NEEDS IMPROVEMENT** - In some areas, performance results generally meet expectations, but improvement is needed in other areas to achieve a level of solid performance.
- ☐ **UNSATISFACTORY** - Performance results are significantly below expectations. Employee needs very close supervision and performance counseling. Immediate and sustained improvement is required.

Is this a performance progress evaluation for an employee who has been in the current job less than nine months? YES (NO)

## Appraiser's Summary:

Howie received a special recognition award and was promoted from a level 6 to a level 7 this past year. In addition, he was granted a BS in chemical engineering after many hard years of night school. He made solid contributions on both the OCA-983 and Fraction 6 projects in the kilo lab this past year. He should continue to strengthen his skills in the kilo lab as he progresses to a senior level chemist down the road.

## Employee's Comments:

Employee Signature

Date

The employee's signature does not necessarily indicate agreement but only indicates the evaluation was fully discussed.

Appraised By (Signature and Title)

Date

## Next Level of Review Comments:

Next Level of Review (Signature and Title)

Date

PLEASE BE INFORMED THAT YOUR PERFORMANCE APPRAISAL MEASURES YOUR JOB PERFORMANCE ONLY. THE FACT THAT THE COMPANY APPRAISES YOUR PERFORMANCE NEITHER GUARANTEES NOR PROMISES EMPLOYMENT FOR ANY DEFINITE PERIOD OF TIME. YOUR EMPLOYMENT IS "AT WILL" AND YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME AND WYETH-AYERST RETAINS A SIMILAR RIGHT.



## **Exhibit 15**

WYETH-AYERST  
RESEARCH

CONFIDENTIAL

**PERFORMANCE PLANNING AND APPRAISAL**

Howard Henry

October, 1997

September, 1998

Employee Name

Time Frame Covered From

To

Scientist II - Chemistry

Chemical Development

Employee's Job Title

Department

Raghavan Krishnan

Sr. Research Scientist II - Chemistry

Appraiser's Name

Title

**DEVELOPING QUALITY  
PERFORMANCE****INSTRUCTIONS**See Procedures Checklist (Page 1A) and  
Program Definitions (Page 1B).

## Performance Appraisal Plan

Employee Name Howard Henry

Date \_\_\_\_\_

At the beginning of the performance review period, the employee and supervisor are to jointly agree upon a Performance Appraisal Plan by completing as appropriate for the job Part A - Performance Standards/Objectives (page 2) and Part B - Management Performance Standards (Page 2A). After agreement on a Performance Appraisal Plan, the employee and supervisor are to establish a Performance Development Plan (page 3) and sign page 3. (See page 1A for further instructions.)

**Part A - Performance standards** are to be developed for all positions below Division Director. Performance objectives are required for Division Directors and above and are optional for other positions. Performance standards/objectives must be challenging, requiring a stretch of effort, and in support of organizational goals. At least one standard/objective on safety should be included for each employee. The safety standard below may be used for individual contributors, or the one on page 2A may be used for supervisors and/or managers. The team performance standard is required for all drug development project team core members and optional for members of other teams. Agree upon percentage weights for performance standards/objectives according to their relative importance to the overall performance results for the job. For Division Directors and above, performance objectives will typically account for 60% or more of the overall performance rating. Performance objectives require agreement upon target completion dates and milestones as needed.

%	PART A - Performance Standards / Objectives	Target Date (Objectives Only)	Performance Achieved	Rating*
60	Performs all work under moderate to limited supervision from project leader. Executes lab experiments to support scale-up work as needed. Uses skills to setup and operate kilogram scale equipment. Completes work by the assigned date while meeting quality objectives and complying with cGMP regulations.		Howard successfully prepared and wrote several operational/installation protocols for the kilo lab equipments from a cGMP standpoint. He installed the Rotovap R-152 and the vacuum oven DP-43 in the Kilo lab in 69 G. He worked with M. MacEwan to prepare the steroid sulfates and the lactose dilutions supporting the Premarin project. He has been extremely diligent in following the cGMP protocols on all the projects he has worked on.	Exceeds Expectation
20	Maintains comprehensible, accurate and complete record of all work. Writes reports as assigned. Enters data into the REACCS database as required. Keeps project leader and team members informed of progress and problems on a timely basis		Howard took the REACCS course this year and has entered data in the Chem D REACCS database. He has always kept the project leader and team members informed of the progress and problems on a timely basis.	At Expectation
10	Performs all work safely. Keeps all work areas neat, clean and organized.		Howard has been responsible for the house keeping of the kilo lab in Bldg. 69 G. He has done an excellent job of ensuring that the lab is neat, clean and organized. He made sure that all the equipments in 69 G were functioning and their calibrations were upto date as required by cGMP.	Exceeds Expectation
10	Works efficiently to maximize use of time and resources.		Howard must continue to work on his organizational skills and learn to use the resources he has effectively.	At Expectation
	Safety (Individual Contributors) - Work areas are maintained and work is conducted in compliance with W-AR safety rules and as required by job responsibilities for safety. Safety training classes are attended as required.			
4321	Team Performance - (Appraiser is to establish a weighting for the importance of participation on teams. As applicable, incorporate ratings from the <i>Project Team Member Performance Review</i> form completed by the Project Team Leader.			

Use page 2B for additional standards/objectives as appropriate.

\*See page 4 for rating definitions.

**Performance Development Plan**Employee Name Howard Henry

Date \_\_\_\_\_

- (1) This section must be completed for all positions at the beginning of the performance review period. Identify one to three development objectives that would enhance skills/knowledge for current job responsibilities or for developing professional growth. (i.e., better planning, improved communication, better collaboration, etc.)
- (2) Describe specific activities and target dates planned to support the development objective. Include job assignments, training, professional activities, etc. Describe supervisor's planned efforts to coach and assist the employee through activities.
- (3) At the end of the performance review period, record results achieved for each development objective.

Development Objectives	Development Activities	Development Results Achieved
Attend REACCS training course.	Learn to utilize REACCS to enter reactions in the data base	Howard attended REACCS training data base and is making attempts to enter reactions in the data base
Took an effective listening course conducted inhouse.		Has applied at work the principles of listening skills he learnt.

The above Performance Appraisal Plan and (Parts A & B as applicable) and Performance Development Plan were developed and reviewed by:

Employee \_\_\_\_\_ Date \_\_\_\_\_ Appraiser \_\_\_\_\_ Date \_\_\_\_\_ Next Level of Review \_\_\_\_\_ Date \_\_\_\_\_

**Special Projects, Assignments or Responsibilities Added in Midyear (Optional)**

- (1) List standards/objectives for special projects, assignments or responsibilities added between appraisals.
- (2) At the end of the performance review period, identify accomplishments for each performance standard/objective and rate them accordingly. See page 4 for rating definitions.

%	Performance Standards/Objectives	Performance Achieved	Rating

**Interim Performance Discussion (Typically Completed in April/May)**

Appraiser Comments

Employee Signature _____ Date _____	Appraiser Signature _____ Date _____
-------------------------------------	--------------------------------------

**Overall Evaluation / Performance Levels****Check One Box**

- ☐ **EXCEPTIONAL** - Performance results consistently exceed expectations. The employee goes well beyond parameters of the job and makes an exceptional contribution to the organization.
- ☒ **EXCEEDS EXPECTATIONS** - Performance results frequently exceed expectations. The employee frequently achieves more than what the job was designed to do.
- ☐ **AT EXPECTATIONS** - Performance results meet and may occasionally exceed expectations. The employee contributes a solid performance and accomplishes what the job was designed to do.
- ☐ **NEEDS IMPROVEMENT** - In some areas, performance results generally meet expectations, but improvement is needed in other areas to achieve a level of solid performance.
- ☐ **UNSATISFACTORY** - Performance results are significantly below expectations. Employee needs very close supervision and performance counseling. Immediate and sustained improvement is required.

Is this a performance progress evaluation for an employee who has been in the current job less than nine months?

☐ YES☒ NO**Appraiser's Summary:**

Howard applied his knowledge acquired in his B.S. (Chem Eng) very effectively in the kilo lab. He is a hard worker and completes all the assigned in a timely manner. He has learnt to use the REACCS database. His overall performance and contributions in the kilo lab exceeded expectations.

**Employee's Comments:**

Employee Signature

Date

11/25/98

The employee's signature does not necessarily indicate agreement but only indicates the evaluation was fully discussed.

Appraised by (Signature and Title)

Date

11/23/98

**Next Level of Review Comments:**

Next Level of Review (Signature and Title)

Date

Assoc. Director

12/1/98

PLEASE BE INFORMED THAT YOUR PERFORMANCE APPRAISAL MEASURES YOUR JOB PERFORMANCE ONLY. THE FACT THAT THE COMPANY APPRAISES YOUR PERFORMANCE NEITHER GUARANTEES NOR PROMISES EMPLOYMENT FOR ANY DEFINITE PERIOD OF TIME. YOUR EMPLOYMENT IS "AT WILL" AND YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME AND WYETH-AYERST RETAINS A SIMILAR RIGHT.

## **Exhibit 16**



CONFIDENTIAL

## PERFORMANCE PLANNING AND APPRAISAL

<u>Howard Henry</u> Employee Name	<u>October, 1998</u> <u>September, 1999</u> Time Frame Covered      From      To
<u>Scientist II - Chemist</u> Employee's Job Title	<u>Chemical Development</u> Department
<u>Kevin McCoy</u> Appraiser's Name	<u>Associate Director</u> Title

### INSTRUCTIONS

See Procedures Checklist (Page 1A) and  
Program Definitions (Page 1B).

D-00144

CONFIDENTIAL





**Performance Development Plan**

- (1) This section must be completed for all positions at the beginning of the performance review period. Identify one to three development objectives that would enhance skills/knowledge for current job responsibilities or for developing professional growth. (i.e., better planning, improved communication, better collaboration, etc.)
- (2) Describe specific activities and target dates planned to support the development objective. Include job assignments, training, professional activities, etc. Describe supervisor's planned efforts to coach and assist the employee through the activities.
- (3) At the end of the performance review period, record results achieved for each development objective.

Development Objectives	Development Activities	Development Results Achieved
Learn more about facility equipment qualification.	Check An-BioProcess for six months as part of CMA-676 facility qualification team.	Participated on team which led to a successful PAI review for the conjugation facility.
Become more proficient with application of chemical engineering principles to pharmaceutical development	Assist in bldg. 240 design and construction efforts. Assist in heat transfer model program.	Assisted in bldg. 240 engineering activities. Also assisted in development of a heat transfer model for use in predicting temperature profiles for highly exothermic react.

The above Performance Appraisal Plan and (Parts A&B as applicable) and Performance Development Plan were developed and reviewed by:

Employee	Date	Appraiser	Date	Next Level of Review	Date
----------	------	-----------	------	----------------------	------

**Special Projects, Assignments or Responsibilities Added in Midyear (Optional)**

- (1) List standards/objectives for special projects, assignments or responsibilities added between appraisals.
- (2) At the end of the performance review period, identify accomplishments for each performance standard/objective and rate them accordingly. See page 4 for rating definitions.

%	Performance Standards/Objectives	Performance Achieved	Rating

**Interim Performance Discussion (Typically Completed in April/May)**

Appraiser Comments:

Employee Signature	Date	Appraiser Signature	Date
--------------------	------	---------------------	------

D-00146

## Overall Evaluation / Performance Levels

Check One Box

- ☐ **EXCEPTIONAL** - Performance results consistently exceed expectations. The employee goes well beyond parameters of the job and makes an exceptional contribution to the organization.
- ☐ **EXCEEDS EXPECTATIONS** - Performance results frequently exceed expectations. The employee frequently achieves more than what the job was designed to do.
- ☒ **AT EXPECTATIONS** - Performance results meet and may occasionally exceed expectations. The employee contributes a solid performance and accomplishes what the job was designed to do.
- ☐ **NEEDS IMPROVEMENT** - In some areas, performance results generally meet expectations, but improvement is needed in other areas to achieve a level of solid performance.
- ☐ **UNSATISFACTORY** - Performance results are significantly below expectations. Employee needs very close supervision and performance counseling. Immediate and sustained improvement is required.

Is this a performance progress evaluation for an employee who has been in the current job less than nine months? YES (NO)

## Appraiser's Summary:

Howard has been assigned to oversee and coordinate process equipment qualification work for Bldg 240. He will interact very strongly with the contract validation company and W-A Global Engineering to ensure all equipment is qualified properly and according to schedule. Since attaining a chemical engineering degree, Howard has transitioned from a chemist to engineer and is expected to play a key role in the new development facility, Bldg 240.

## Employee's Comments:

Howard Howard 07-JAN-00  
Employee Signature Date

The employee's signature does not necessarily indicate agreement but only indicates the evaluation was fully discussed.

Kenny McG Associate Director 06-JAN-00  
Appraised By (Signature and Title) Date

## Next Level of Review Comments:

Richard Wolf Vice President 6-JAN-00  
Next Level of Review (Signature and Title) Date

PLEASE BE INFORMED THAT YOUR PERFORMANCE APPRAISAL MEASURES YOUR JOB PERFORMANCE ONLY. THE FACT THAT THE COMPANY APPRAISES YOUR PERFORMANCE NEITHER GUARANTEES NOR PROMISES EMPLOYMENT FOR ANY DEFINITE PERIOD OF TIME. YOUR EMPLOYMENT IS "AT WILL" AND YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME AND WYETHAYERST RETAINS A SIMILAR RIGHT.

D-00147

CONFIDENTIAL

## **Exhibit 17**



AMERICAN HOME PRODUCTS CORPORATION

## PERFORMANCE PLANNING AND APPRAISAL

Howard Henry 2000 1/00 12/00  
 Employee's Name Review Period From To

☐ Check this box if this Performance Plan and Appraisal is being prepared for a new employee or for an employee who is new to their current assignment ("new" = less than six months in current assignment).

PLEASE BE INFORMED THAT YOUR PERFORMANCE APPRAISAL MEASURES YOUR JOB PERFORMANCE ONLY. THE FACT THAT THE COMPANY APPRAISES YOUR PERFORMANCE NEITHER GUARANTEES NOR PROMISES EMPLOYMENT FOR ANY DEFINITE PERIOD OF TIME. YOUR EMPLOYMENT IS "AT WILL" AND YOU HAVE THE RIGHT TO TERMINATE YOUR EMPLOYMENT AT ANY TIME AND AMERICAN HOME PRODUCTS CORPORATION AND ITS SUBSIDIARIES RETAIN A SIMILAR RIGHT.

Production Engineer Dept. 640  
 Employee's Job Title Division / Department  
 Walter Wardrop Production Manager  
 Appraiser's Name Title

### Section I – Performance Objectives/ Responsibilities and Results

A. Performance Objectives, Responsibilities, Expectations See Attached "CHP Staff Objectives - Supervisor"	B. Results Achieved	C. Rating (1-5)*
Financial	Howard is responsible for all the equipment used for Train 1 manufacturing – purchasing and maintaining. Failure to keep the equipment running would result in costly downtime - he has kept downtime to a minimum.	3
Customer Service	> 90% Bulk Attainment achieved during this time period. Target goals for cycle time and throughput have been achieved through the attention and efforts of all the Train 1 management. Howard's efforts as the engineer directly impact our ability to meet customer service requirements.	3
Innovation, Learning and Accountability	Howard was hired as the Train 1 Engineer. He has proven to be a quick learner and has spent considerable time learning the equipment and the operation. He has accepted responsibility and accountability for keeping the equipment running. When downtime has occurred, he has displayed the sense of urgency to initiate corrective actions in a timely fashion and see the job through to completion. What he does not know, he is eager to learn. He has spent time training with Rich Musa and Pete McGarrigle, who have both been department engineer at some point, and is training to be Jean Colas' backup support.	3

## Section I - Performance Objectives/ Responsibilities and Results

A. Performance Objectives, Responsibilities, Expectations See Attached "CHP Staff Objectives - Supervisor"	B. Results Achieved	C. Rating (1-5)*
Housekeeping / cGMP	Howard's role in housekeeping and cGMP is in how he responds to problems. As such, he responds quickly to compliance issues and repairs.	3

Employee Name Howard Henry**Section II – Work Behaviors Exhibited: Company Success Factors**

<b>1. Accountability/Commitment</b> (Sets high standards of performance, pursues aggressive goals, works hard to achieve them, takes pride in their work, takes ownership, meets deadlines, follows through, is dependable)	<b>Rating (1-5)*</b> 3	<b>8. Innovation</b> (Uses imagination and creativity, takes reasonable risks, takes initiative to make things better, appropriately challenges status quo)	<b>Rating (1-5)*</b> 3
<b>2. Adaptability/Flexibility</b> (Demonstrates a willingness to shift priorities according to changes in business needs, adjusts well to ambiguity and change, open to different ideas/approaches)	3	<b>9. Inspires Trust</b> (Follows through on commitments, assumes responsibility for one's actions, communicates in an authentic manner, respects confidentiality)	3
<b>3. Business Acumen</b> (Demonstrates having a good understanding of the industry and operations of the organization, is technically proficient, understands and incorporates a global perspective to work)	3	<b>10. Planning and Problem Solving</b> (Analyzes, thinks strategically, clarifies priorities, gathers relevant information, utilizes diverse input, synthesizes approaches)	3
<b>4. Collaboration</b> (Fosters teamwork, facilitates constructive discussion, recognizes contributions, proactively shares ideas and information, seeks out others' input, shares knowledge)	3	<b>11. Respect for Others and Inclusion</b> (Treats others as they would wish to be treated, values/supports diversity and an inclusive work environment, respects others' esteem when addressing problems)	3
<b>5. Customer Focused</b> (Identifies internal and/or external "customer" needs, meets customer expectations, seeks customer feedback)	3	<b>12. Effective People Management</b> (For supervising managers only) (Hires and retains high quality employees, sets performance expectations, coaches and provides ongoing feedback and recognition, drives the performance management process, facilitates development and career opportunities)	3
<b>6. Effective Communication</b> (Actively listens, relays complete information clearly and simply, responds to non-verbal cues, validates others' viewpoints)	3	<b>13. Adheres to Code of Conduct</b> (Adheres to the letter and spirit of our Company Code of Conduct when completing work assignments)	Yes
<b>7. Individual Leadership</b> (Demonstrates personal initiative, energizes others, leads by example, maintains a positive and "can do" attitude, takes responsibility for own development, addresses challenging situations)	3	<b>14. Other:</b>	

Write specific observations related to the Success Factors, commenting on both areas of strength and opportunities for development.

Howard is in the early stages of his learning curve as a production engineer. He has spent the majority of his time learning Train 1's equipment and operations. He has displayed that he has good leadership skills, is a good team member and is innovative. He is very flexible and able to shift priorities, as required. He follows direction well and shows a great deal of dedication and devotion to his work. He works well with the other managers and is working on developing a relationship with the operators. He displays a great deal of enthusiasm to learn about the job and to succeed.

Opportunities for improvement include management training, creating effective relationships with the department support groups, learning more about the operation and attending the Supervisor Development Curriculum courses.

Employee Name **Howard Henry**

### Section III – Summary of Performance

In determining the overall rating for performance, consider the following four factors:

- ♦ The ratings for results achieved (Section I)
- ♦ The ratings for demonstration of Success Factors on the job (Section II)
- ♦ The impact of the employee's performance on the business
- ♦ The comparative importance of the results produced to the results produced by others in the work group

Results Achieved (“What” was accomplished) Expected results (goals, objectives, standards) based on job responsibilities and assignments	Behavior Exhibited (“How” the employee worked with others) Per Company Success Factors: Accountability, Integrity, Flexibility, Business Acumen, Collaboration, Customer Focus, Communication, etc.	Overall Rating
<b>Significantly Above Target</b> ♦ Far exceeded objectives, responsibilities, expectations	<b>Role Model</b> ♦ Consistently demonstrated and inspired others to demonstrate the Success Factors	
<b>Above Target</b> ♦ Exceeded objectives, responsibilities, expectations	<b>Accomplished</b> ♦ Consistently demonstrated the Success Factors	
<b>On Target</b> ♦ Met objectives, responsibilities, expectations	<b>Skilled</b> ♦ Consistently demonstrated most of the Success Factors	<b>3 Solid Performer</b> <input type="checkbox"/>
<b>Below Target</b> ♦ Did not fully meet key objectives, responsibilities, expectations	<b>Needs Development</b> ♦ Requires improvement in some key Success Factors	
<b>Significantly Below Target</b> ♦ Did not accomplish most objectives, responsibilities, expectations ♦ <i>Immediate and sustained performance improvement required to remain in position</i>	<b>Needs Significant Improvement</b> ♦ Did not demonstrate success factors ♦ <i>Immediate and sustained performance improvement required to remain in position</i>	

#### Manager's Comments on Performance

Howard is a solid performer. In general, he has met the objectives, responsibilities and expectations that were set for him verbally when he accepted the engineer position. He has learned the basic functions of the engineer and has spent time on the floor learning the equipment and the operation. He accomplished several special projects: installing SOI and product tag holders on the Coating solution tanks, ordering and qualifying a Hepa-filter vacuum for the Blending area, pulling up an out-of-compliance carpet in the production area and refinishing the floor, and participating on the Continuous Coater design team. He also learned the MAXIMO system and initiates daily maintenance requests.

Howard is a conscientious worker who is willing to put in extra effort where needed. Howard works long days to help avoid equipment failure and the associated downtime, and to participate in central engineering projects such as the Littleford installation and Air Washer tie-ins. In the short time that he has been in LCH, Howard has shown himself to be an asset to the department and consistently demonstrates the Company Success Factors.

Employee Name **Howard Henry****Section IV – Focus for Development**

<b>1. Identify areas for development that are critical for accomplishing next year's Performance Expectations:</b>	
<b>Development Objectives</b>	<b>Related Success Factors</b>
Developing relationships with the Maintenance Dept.	4. Collaboration
Leadership and Management Skills	12. Effective People Management
Re-evaluate the operation and the equipment – look for better ways to perform the operation.	8. Innovation
<b>2. Create a detailed development plan and discuss with your Manager by (date) January 31, 2001.</b>	

**Section V - Employee Comments**

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**VI - Required Signatures**



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 12/06/00  
 Date

Employee's Signature  
Howard Henry

Signature indicates you have seen, reviewed, and discussed this appraisal with your Manager and you have been given the opportunity for discussion.


 \_\_\_\_\_
 
 12/6/00  
 Date

Manager's Signature  
Walter Wardrop


 \_\_\_\_\_
 
 12/7/00  
 Date

Next Level of Review (Signature and Title)  
Comments (optional):

\_\_\_\_\_
 
 \_\_\_\_\_  
 Date

Human Resources (If / as required by Business Division)